

Individual Characteristics Form  
Work Opportunity Tax Credit and  
Welfare-to-Work Tax Credit

**U.S. Department of Labor**  
Employment and Training Administration  
U.S. Employment Service



1. CONTROL NO. (For Agency Use Only)	<b>Individual Information (Instructions on the Back)</b>	OMB Control No.: 1205-0371 Expires: 03/31/98
		2. DATE RECEIVED (For Agency Use Only)

3. EMPLOYER NAME/ADDRESS	4. EMPLOYER ID NO.	5. EMPLOYMENT START DATE  Starting Wage: \$ _____ per hour  POSITION:
	6. Have you worked for the above employer before?  Yes _____ No _____	
7. NAME OF INDIVIDUAL (Last, First, Middle)		8. SOCIAL SECURITY NUMBER:

The above named individual is determined as having the following characteristics for WOTC Target Group and Welfare-to-Work Credit Certification.

9. Is your age between 16 - 25?  Yes _____ No _____  If YES, indicate your "Date of Birth" below:  Date of Birth _____		10. Is a veteran and a member of a family that received Food Stamps for a period of at least 3 months in the last 15 months.  Yes _____ No _____  If YES, also complete Box 16.
11. Is a member of a family that received AFDC (TANF) benefits for any 9 months in the last 18 months.  Yes _____ No _____  If YES, also complete Box 16.	12. Is a member of a family that received Food Stamps for the last 6 months.  Yes _____ No _____ or  If YES, also complete Box 16.  for at least a consecutive 3-month period within the last 5 months, BUT is no longer receiving them.  Yes _____ No _____  If YES, also complete Box 16.	13. In the past year has been <u>convicted</u> of a felony or <u>released</u> from prison after a felony conviction.  Yes _____ No _____  If NO, SKIP to Box 14.  Date of Conviction _____  Date of Release _____  Total Income for the past 6 months for all family members living in the same household?  Total Income: _____  (If No Income, Enter 0 above)  No. of family members living in the same household for the past 6 months, including yourself: _____
14. Lives and plans to continue living in a Federal Empowerment Zone or Enterprise Community.  Yes _____ No _____	15. Is receiving or has received Rehabilitation Services through a State Rehabilitation Services program or the Veterans' Administration.  Yes _____ No _____	
16. If individual is not a primary recipient of benefits, please provide the following:  Name of Primary Recipient _____  City/State of Benefits _____	17. Received Supplemental Security Income (SSI) benefits for any month ending within the last 60 days.  Yes _____ No _____	

The following box is to be completed by individuals starting work after December 31, 1997, under the Welfare-to-Work Tax Credit only.

18. Is a member of a family that:

- Has received AFDC or TANF payments for at least the last 18 **consecutive** months: Yes \_\_\_\_\_ No \_\_\_\_\_ or
- Has received/is receiving AFDC or TANF payments for any 18 months starting after August 5, 1997: Yes \_\_\_\_\_ No \_\_\_\_\_ or
- Stopped being eligible for AFDC or TANF payments after August 5, 1997 because Federal or state law limited the maximum time such assistance is payable. Yes \_\_\_\_\_ No \_\_\_\_\_

19. SOURCES USED TO DOCUMENT ELIGIBILITY:

**Note:** I certify that the information is true and correct to the best of my knowledge. I understand that the information above may be subject to verification. **The signature of the party completing this form is required below.**

20. SIGNATURE \_\_\_\_\_ 21. DATE \_\_\_\_\_

INSTRUCTIONS FOR COMPLETING THE INDIVIDUAL CHARACTERISTICS FORM (ICF) ETA 9061: WORK OPPORTUNITY TAX CREDIT (WOTC) AND WELFARE-TO-WORK TAX CREDIT. This form is used in conjunction with IRS Form 8850 to determine eligibility for the Work Opportunity Tax Credit (WOTC) and/or Welfare-to-Work Tax Credit programs. The form may be completed by the applicant, the employer or employer agent, the SESA or the participating agency and signed by the person or agency filling out this form.

**Note:** This form is **required** to be used, **without modification, by all employers** or third parties serving under contract **as an agent** or representative of the employer.

**Box 1: Control Number (for agency use only).** The SESA or participating agency determines the Control Number. It may be a Social Security number, case number, or other appropriate designation which permits easy filing, identification and retrieval of forms. Enter this number here.

**Box 2: Date (for agency use only).** Enter the month, day, and year when the form is received.

**Box 3: Employer Name/Address.** Enter the name and address including zip code and telephone number of the employer applying for a WOTC Employer Certification.

**Box 4: Employer ID No.** Enter employer's federal taxpayer identification number.

**Box 5: Employment Start Date/Wage/Position or Title.** Enter the employment start date, the starting hourly wage which the employee will be paid. If not known, enter an estimated wage to be paid. Also, enter the job or position title, which the individual or prospective employee will be performing for this employer.

**Box 6: Previous Employment for This Employer.** This requires a YES or NO answer. Enter a check mark (✓) in the blank that corresponds to your answer.

**Box 7: Name of Individual.** Enter full name of individual or prospective employee.

**Box 8: Social Security Number.** Enter individual's social security number here.

**Boxes 9 through 18:**

Read each box carefully. Enter a check mark (✓) to indicate if your answer is a YES or NO. Provide additional information where requested for either the WOTC or the Welfare-to-Work target group eligibility.

**Box 19: Sources to Document Eligibility.** List and/or describe the documentary (\*) evidence or sources of collateral contacts that are attached to this form (ICF) or that will be provided. Indicate in parentheses, next to each document listed whether it is attached or forthcoming. Some examples are provided below. The asterisk (\*) indicates documents that may be obtained by the employer. Employers may also obtain a letter from the agency that administers a relevant program, stating that the employee or a member of his-her household meets one of the eligibility requirements.

**Examples of Documentary Evidence or Collateral Contacts.**

**AGE/BIRTHDATE:**

(Required for High-Risk, Summer Youth & Food Stamp)

- Birth Certificate
- Driver's License\*
- School I.D. Card\*
- Work Permit\*
- I-9\*

**FAMILY INCOME:**

(Required for Ex-Felons)

- Pay Stubs\*
- Employer Contacts\*
- W-2 Forms
- UI Documents
- Public Assistance Records
- Family Members' Statements
- Parole officer's Name\*
- Parole Officer's Statement

**VOCATIONAL REHABILITATION REFERRAL:**

- Voc. Rehab. agency Contact
- Social Services Agency Contact
- Veteran's Administration

**EX-FELON STATUS:**

- Parole officer's Name\*
- Corrections Institution Records
- Court Records, Extracts
- Contacts

**AFDC (IV-A) RECIPIENT:**

- AFDC Benefit History
- Signed Statement From Authorized Individual w/Specific Description of No. of Months Benefits Were Received.
- Case Number\*

**VETERANS' STATUS:**

- DD-214
- Reserve Unit Contacts
- Discharge papers\*

**NUMBER IN FAMILY:**

- Public Assistance
- Social Services Agencies

**SSI RECIPIENT:**

- SSI Record or Authorization Contact
- SSI Contact
- Evidence of SSI issuance

NOTE: This list is not exhaustive. For more information, contact your WOTC public Employment Service Office.

**EMPOWERMENT ZONES/ ENTERPRISE COMMUNITIES:**

- Driver's License\*
- Work Permit\*
- Utility Bills\*

**FOOD STAMP RECIPIENT:**

- Signed Statement From Authorized Individual w/Specific Description of Number of Months Benefits Were Received.
- Case Number\*

**Box 20: Signature.** If applicant completes this form he or she must enter signature here. If applicant is a minor (under age 18) the parent or guardian should sign this box. If form is completed by the employer or his/her agent enter corresponding signature here. If form was completed by the intake staff of a SESA or participating agency, enter signature of intake staff in this box.

**Box 21: Date.** Enter the month, day and year in which the form is completed.

**TO THE JOB APPLICANT OR EMPLOYEE:**

The information and the supporting documentation you have provided in completing this form or in some cases other information that could verify the responses you have given to the items/questions in this form will be disclosed by your employer to the state employment security agency (enter corresponding participating agency here \_\_\_\_\_) in order to qualify for a federal employer tax credit provision of this information is voluntary. However, the information is required for your employer to receive the federal tax credit. If the information you provide is on a member of your family, you should provide him/her a copy of this notice.

Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. Respondent's obligation to reply to these requirements are mandatory as required by P.L. 105-34. Public reporting burden for this collection of information is estimated to average 20 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, U.S. Employment Service, Room 4470, Washington, D.C. 20210 (Paperwork Reduction Project 1205-0371).